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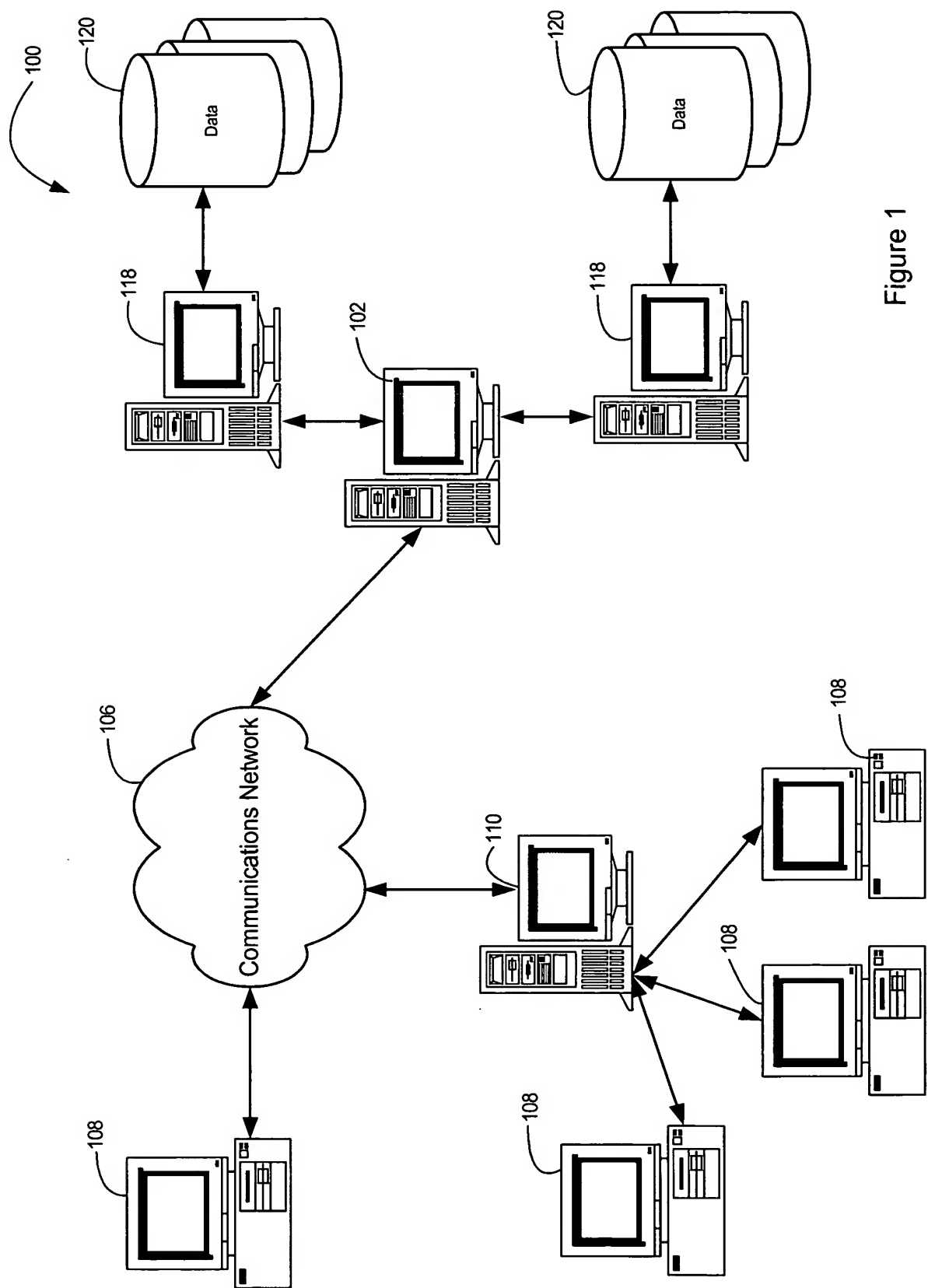


Figure 1

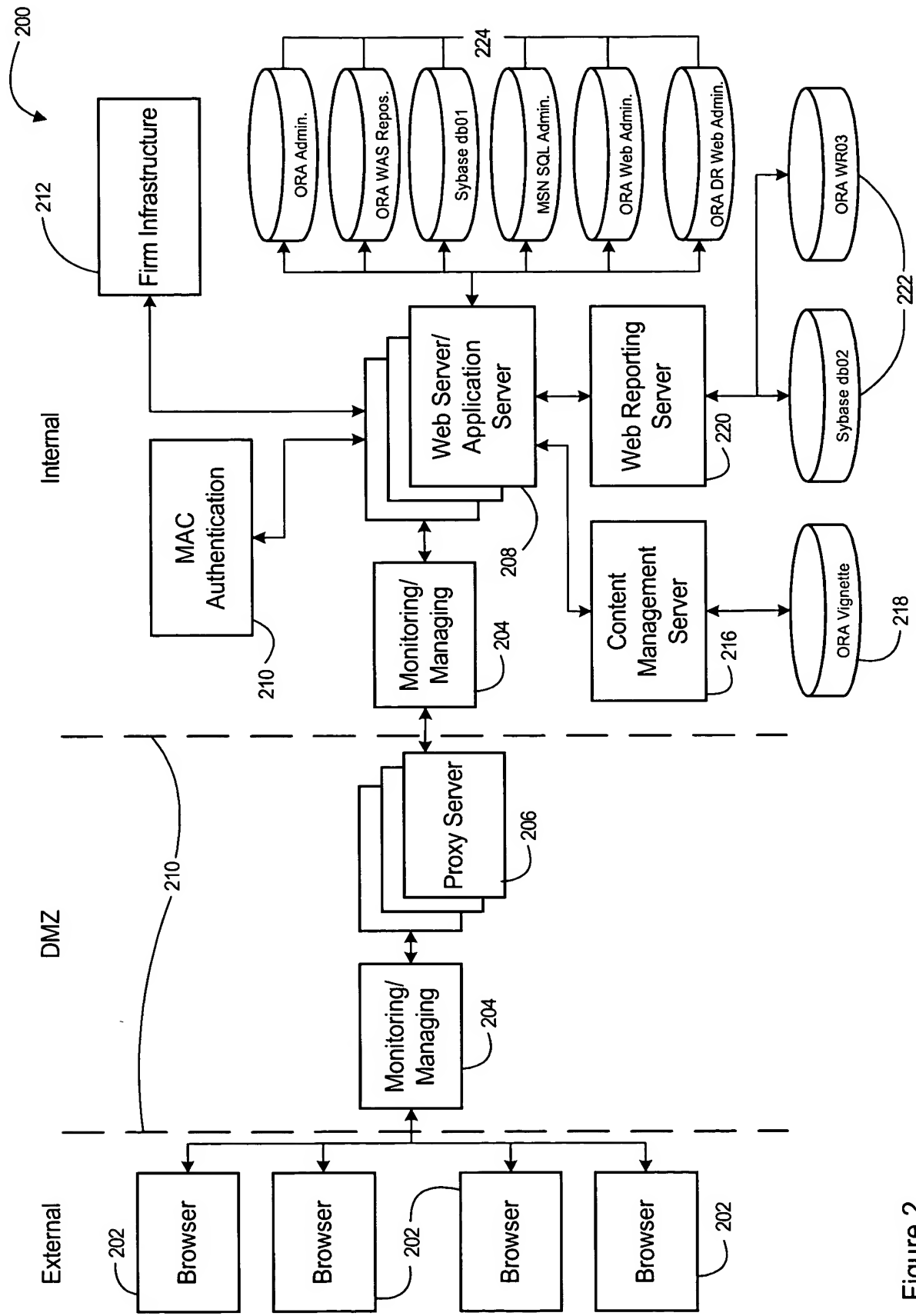


Figure 2

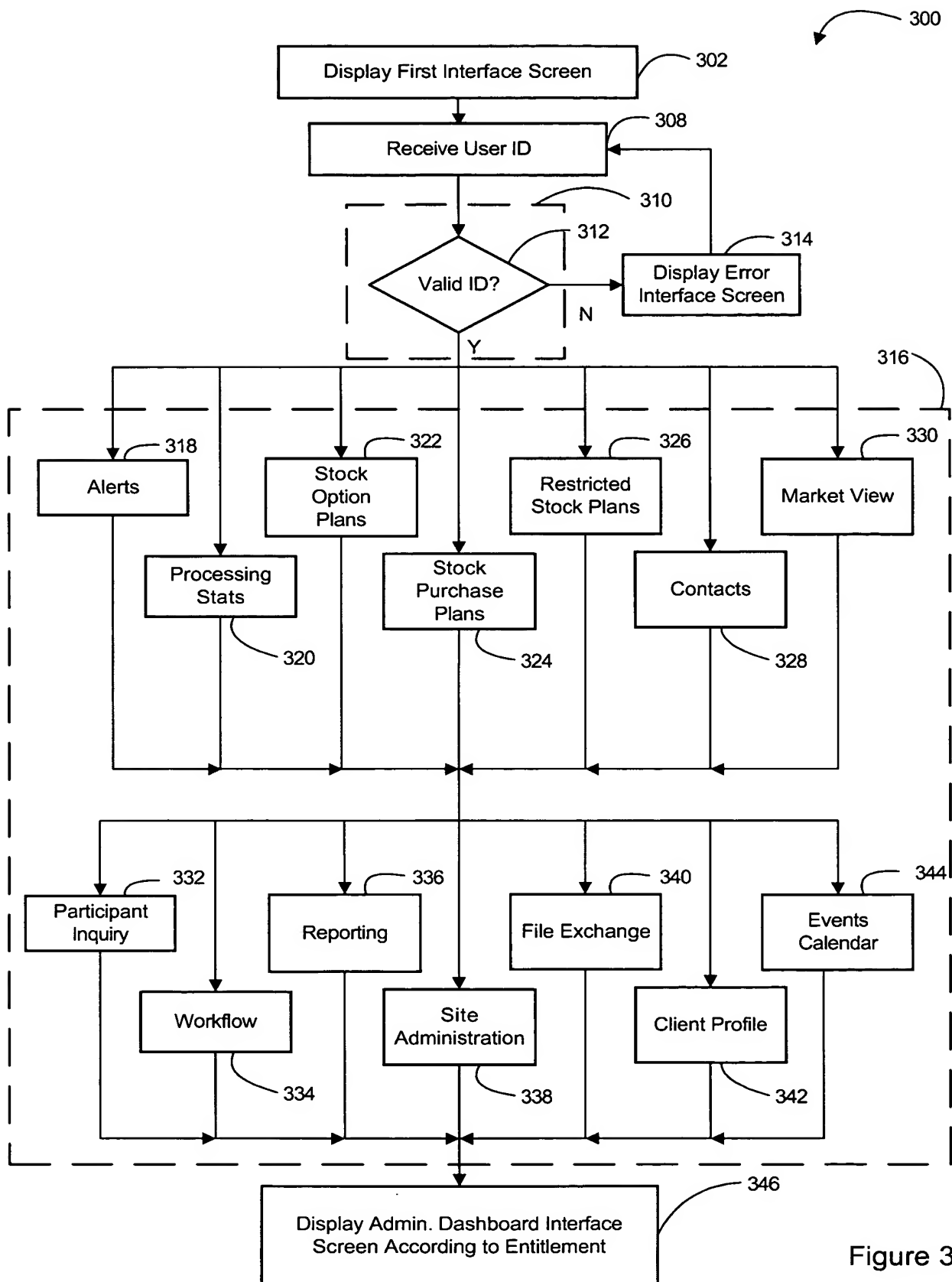


Figure 3

400

Web Admin - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit

Address http://pww5m44c01-8080/wa/home/index\_dash.htm

UBS PaineWebber

Home Participant Inquiry Work Flow Reporting Site Administration

Help Change Password Logout

Company: XYZ Incorporated (Go)

Administrator's Dashboard

Processing Statistics

Work Flow

Opened 5

Unopened 5

In Progress 5

To be Purged 5

Friday, July 4, 2002

Alerts

The Internet site will system will be down for maintenance maintenance.

Plan Activity

Stock Options Plans (ESOP)

Options Exercised Yesterday 10,000

Options Vesting Today 5,000

Options Expiring Today 7,000

Shares Settling Today 500

Stock Purchase Plans (ESPP)

Shares Traded Yesterday 10,000

Shares Settling Today 5,000

Shares Released Today 7,500

Restricted Stock Plans (RSA)

Shares Released Today 1,000

Active Participants 100

402

406

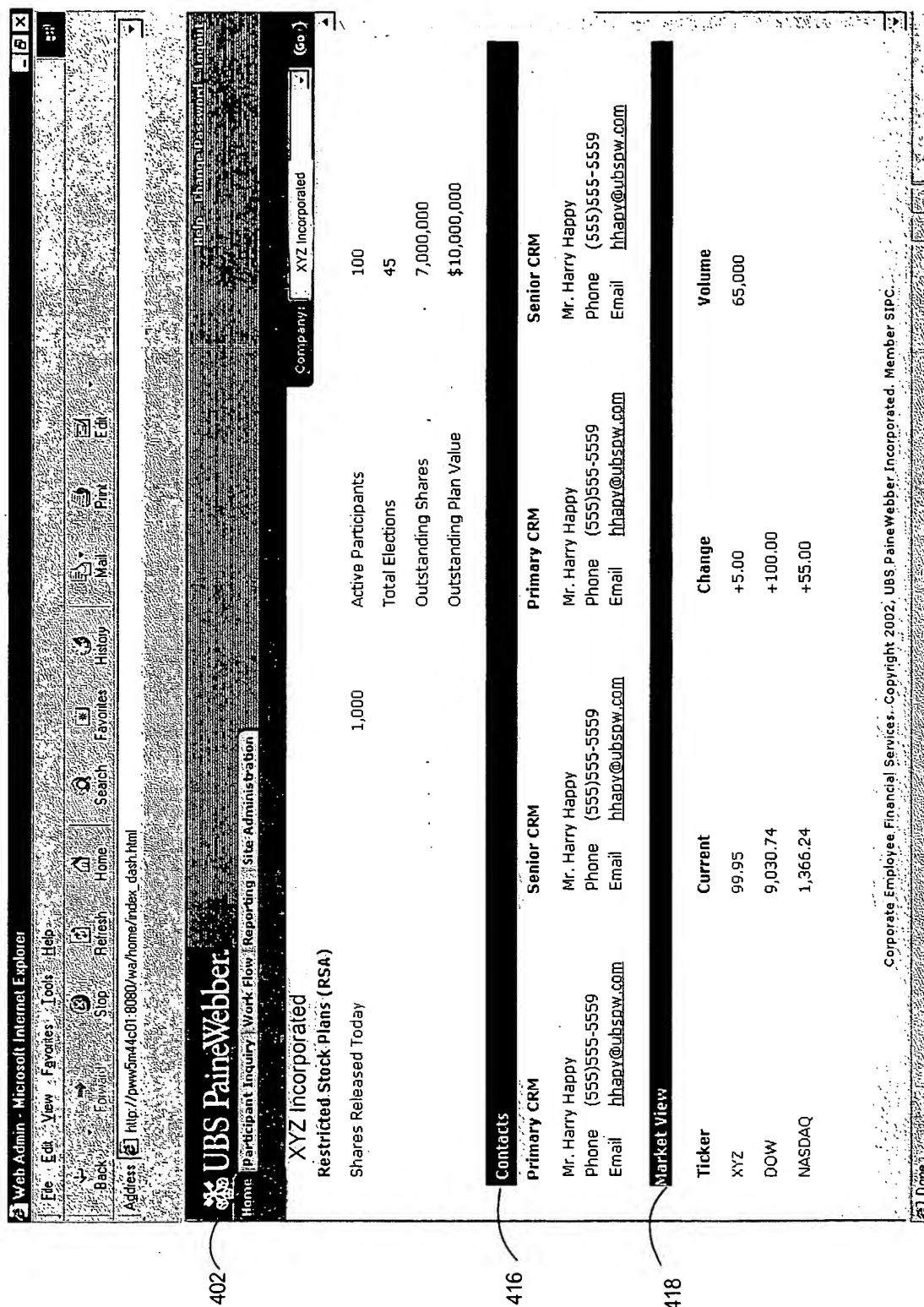
412

408

404

414

Figure 4



## Figure 5

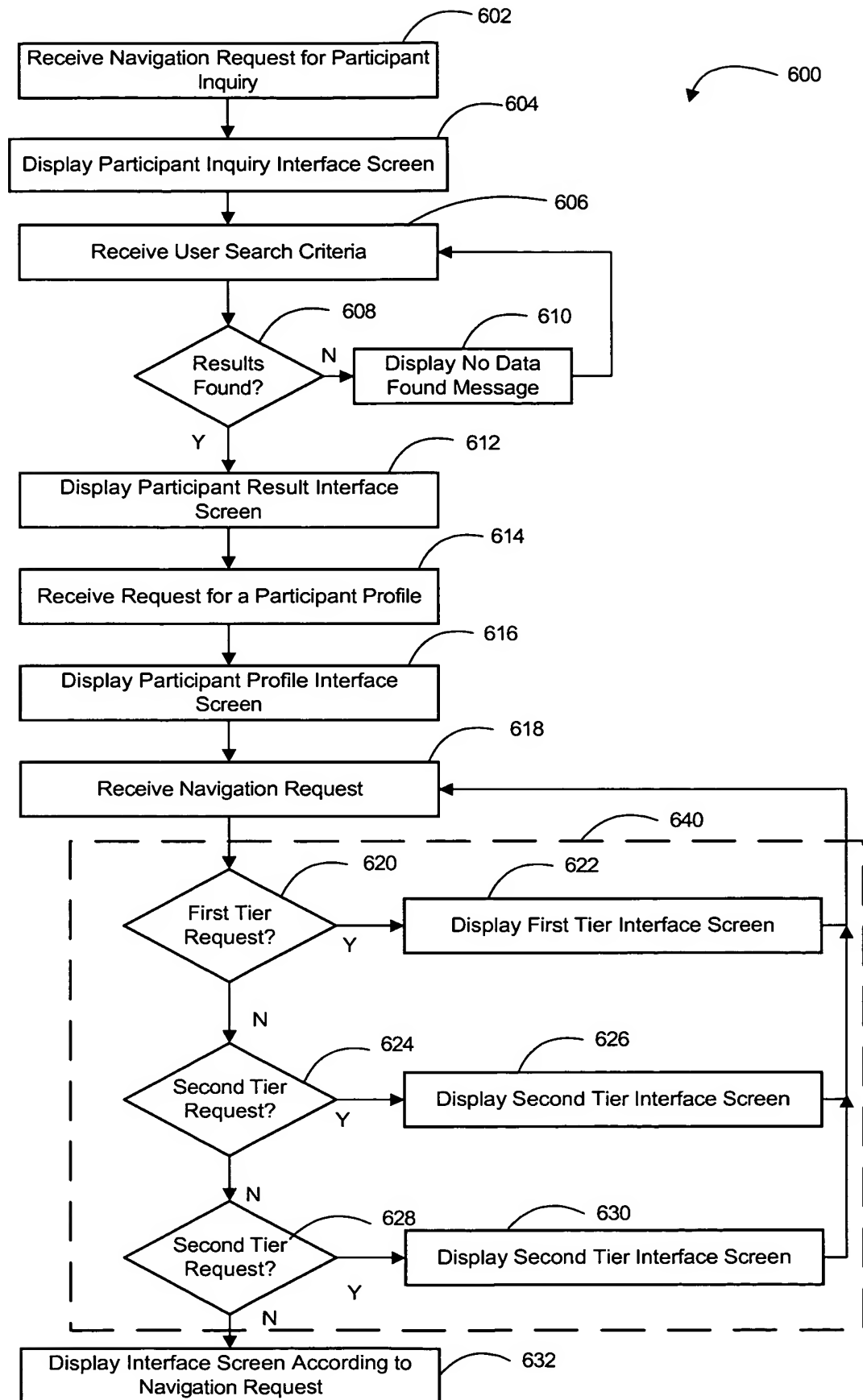


Figure 6

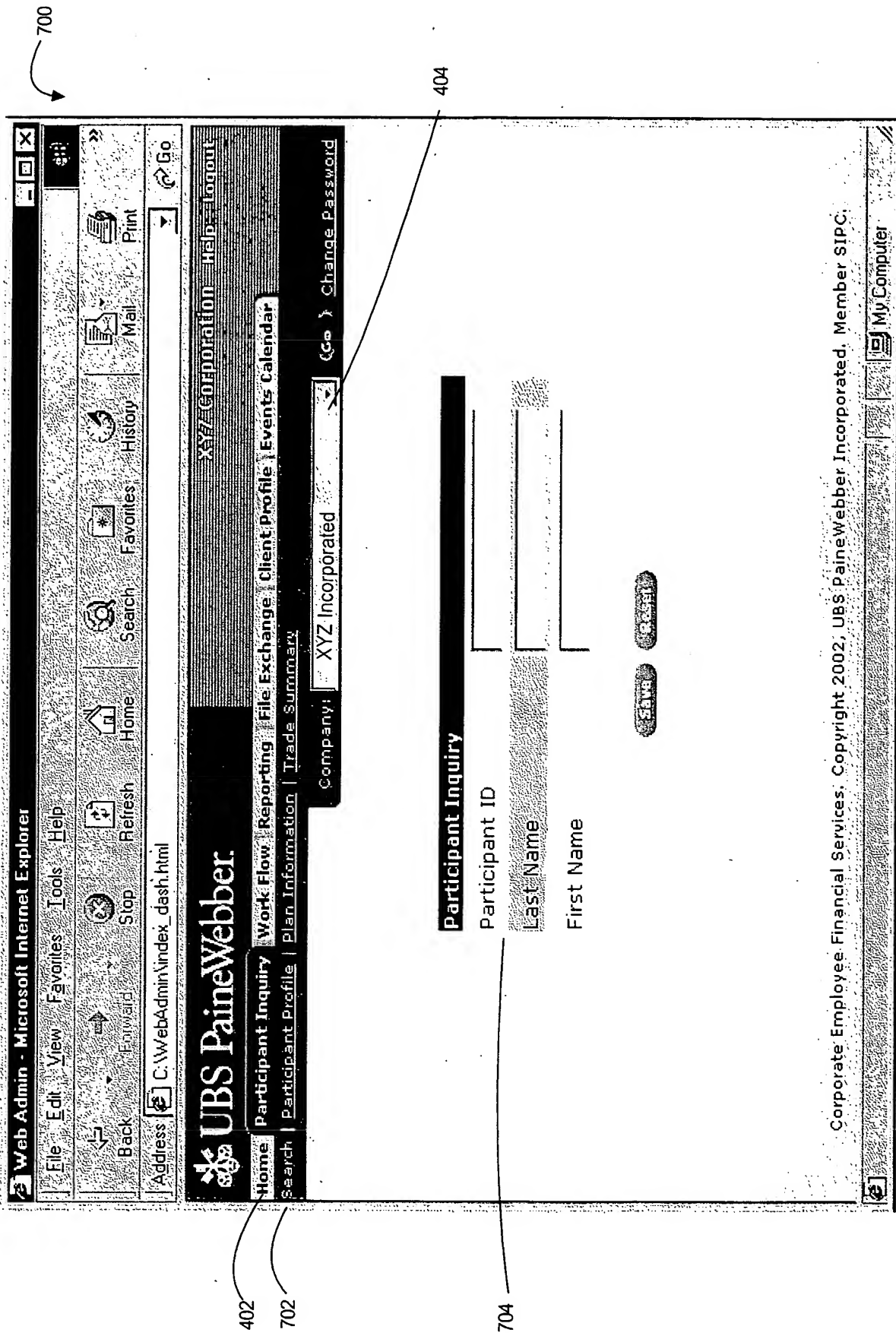


Figure 7



800

Web Admin - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit Messenger Real.com Messenger

Address C:\WebAdmin\index\_dash.html

UBS PaineWebber

[Home](#) [Participant Inquiry](#) [Work Flow](#) [Reporting](#) [File Exchange](#) [Client Profile](#) [Events Calendar](#)

[Search](#) [Participant Profile](#) [Plan Information](#) [Trade Summary](#)

Company: XYZ Incorporated [Change Password](#)

Participant Results

Participant ID	Last Name	First Name	City	State	Country
123456789	Doe	John	New York	New York	USA
2333689994	Doe	Josh	Jersey City	NJ	USA
1000000504	Doe	Kevin	Secaucus	NJ	USA
1000000505	Doe	Larry	Secaucus	NJ	USA
8744458933	Doe	Lawrence	New York	NY	USA
100003501	Doe	Matthew	San Francisco	CA	USA
100003502	Doe	Michael	Secaucus	NJ	USA
100003501	Doe	Patty	New York	New York	USA
777777777	Doe	Ursula	New York	New York	USA

Corporate Employee Financial Services

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My Computer

802

Figure 8

900

Web Admin - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit Messenger Real.com Messenger

Address C:\WebAdmin\index\_dash.html

Go

XYZ Corporation - Help - Logout

Company: XYZ Incorporated (Go) Change Password

UBS PaineWebber

Home Participant Inquiry Work Flow/Reporting File Exchange Client Profile Events Calendar

Search Participant Profile Plan Information Trade Summary

Personal

Administration

Comments

Registration

Leave of Absence

Name

John Doe

Address

123 Main Street

Apartment #2

New York, NY 12211

USA

Home Phone

(212) 453-9889

Work Phone

(212) 356-8799

Fax Number

(212) 356-8798

Work E-mail

jdoe@main.net

Alternate E-mail

jdoe@aol.com

Personal

Social Security

123-45-6789

Participan ID

123456789

Nickname

Johnny Boy

Date of Birth

March 4, 1964

Hire Date

February 12 1988

Salary

\$1,125,000

YTD Taxable

\$2,225,000

YTD FICA

\$4,724

View Tax Code Table

Tax Code

USNY

USNJ

Allocation

50%

50%

FICA (Y/N)

Y

Y

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My Computer

702

902

904

906

Figure 9

1000

Web Admin - Microsoft Internet Explorer
File Edit View Favorites Tools Help
Back Forward Stop Refresh Home Search Favorites History Mail Print Edit Messenger Real.com Messenger
Address C:\WebAdmin\index\_dash.html
XYZ Corporation Help Logout
Company: XYZ Incorporated (Go) Change Password

UBS PaineWebber

Home Participant Inquiry Work Flow Reporting File Exchange Client Profile Events Calendar

Trade Rate Table

Code	Description	Federal(%)	State (%)	Local 1 (%)	Local 2 (%)	Local 3 (%)	Local 4 (%)	Local 5 (%)	Local 6 (%)	Withhold ISO
AK	Alaska	27.000000	.000000	.000000	.000000	.000000	.000000	.000000	.000000	Y
AL	Alabama	27.000000	5.000000	.000000	.000000	.000000	.000000	.000000	.000000	Y
AR	Arkansas	27.000000	7.000000	.000000	.000000	.000000	.000000	.000000	.000000	Y
CA	California	27.000000	6.000000	.000000	.000000	.000000	.000000	.000000	.000000	Y
DE	Delaware	27.000000	5.95000	.000000	.000000	.000000	.000000	.000000	.000000	Y
FL	Florida	27.000000	.000000	.000000	.000000	.000000	.000000	.000000	.000000	Y
USNJ	New Jersey	27.000000	6.00000	.000000	.000000	.000000	.000000	.000000	.000000	Y
USNY	New York	27.000000	7.35000	.000000	.000000	.000000	.000000	.000000	.000000	Y
UK	UK	.000000	.000000	.000000	.000000	.000000	.000000	.000000	.000000	Y

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Figure 10.

1100

Web Admin - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit Messenger Real.com Messenger

Address C:\WebAdmin\index\_dash.html

XYZ Corporation Help Logout

Company: XYZ Incorporated (Go) Change Password

Home Participant Inquiry Work Flow Reporting File Exchange Client Profile Events Calendar Search Participant Profile Plan Information Trade Summary

UBS PaineWebber

Personal

Administration

Comments

Registration

Leave of Absence

Name

Title

Subsidiary

Location

Termination Code

Termination Date

Account Block

UBS PW Account #

Broker Code

Broker Account

Wire Instructions

John Doe

04 - Branch Manager

USA - USA

CA - California

03 - Layoff

06/01/2001

N

N/A

PW - UBS PaineWebber

Y

Y

Administration

Officer Code

UBS PW Officer Class

User 1

User 2

User 3

User Text 1

User Text 2

User Number

User Date

01 - Vice President

1

Y

63

06/01/2001

Branch Manager

CEFS Platform

Plan

Form On File

Form Type

Form Last Updated

Expiration Date

Participant

ESOP

Y

W9

Jan 1 2000 12:00PM

N/A

Y

ESPP

Y

W9

Jan 1 2000 12:00PM

N/A

N

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My Computer

902

Figure 11

1200

Web Admin - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit Messenger Real.com Messenger

Address C:\WebAdmin\Index\_dash.html

UBS PaineWebber

Home Participant Inquiry Work Flow Reporting File Exchange Client Profile Events Calendar Search Participant Profile Plan Information Trade Summary

Company: XYZ Incorporated (Go) Change Password

Personal Administration Comments Registration Leave of Absence

Comments

John Smith

There are no comments available for this Participant.

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My Computer

902

Figure 12

1300

Web Admin - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit Messenger Real.com Messenger

Address C:\WebAdmin\Index\_dash.html

XYZ Corporation Help Logout

Company: XYZ Incorporated (Go) Change Password

UBS PaineWebber

Home Participant Inquiry Work Flow Reporting File Exchange Client Profile Events Calendar

Search Participant Profile Plan Information Trade Summary

Personal

Administration

Comments

Registration

Leave of Absence

Registration

Name

ShareRegistration Name

ShareRegistration Address

John Doe

John and Mary Doe

123 Main Street

Apartment #2

New York, New York

Done

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902

Figure 13

1400

Web Admin - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit Messenger Real.com Messenger

Address C:\WebAdmin\index\_dash.html

Go

UBS PaineWebber

Home Participant Inquiry Work Flow Reporting File Exchange Client Profile Events Calendar

Search Participant Profile Plan Information Trade Summary

Company XYZ Incorporated

Go Change Password

Personal

Administration

Comments

Registration

Leave of Absence

Leave of Absence

Name	John Doe				
Start Date	10/01/2001	Return Date	11/01/2001	Reason	Sore Back

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file:///C:/WebAdmin/participant/leaveofabsence.jsp

My Computer

902

Figure 14





1600

Web Admin - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit Messenger Real com Messenger

Address: C:\WebAdmin\index\_dash.html

**UBS PaineWebber**

Home Participant Inquiry Work Flow Reporting File Exchange Client Profile Events Calendar

Search Participant Profile Plan Information Trade Summary

Company: XYZ Incorporated (Go) Chance Password

ESOP Plan Info

ESPP Plan Info

RSA Plan Info

Name  
John Doe

**Grant Information**

Plan Number	Grant Number	Grant Date	Grant Price	Option Type	Options Granted	Options Exercised	Options Cancelled	Options Outstanding	Exercise Pending	Options Exercisable	Grant Accepted
XYZ423A	GAR00000000128	06/15/2000	\$9.7500	NQO	5,000	1,250	0	3,750	0	0	N/A
XYZ423A	GAR00000000175	06/16/2000	\$9.7500	ISO	5,000	0	0	5,000	0	1,250	N/A
XYZ423B	00000000000185	07/12/2000	\$59.722	NQO	2,500	0	0	2,500	0	625	N/A
XYZ423A	000000000000414	03/19/2001	\$45.012	NQO	5,000	0	0	5,000	0	1,250	N/A
XYZ423A	000000000000129	04/12/2000	\$65.000	NQO	5,000	0	0	5,000	0	1,250	N/A
<b>Totals</b>					<b>22,500</b>	<b>1,250</b>	<b>0</b>	<b>21,250</b>	<b>0</b>	<b>4,375</b>	

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file:///C:/WebAdmin/participant/esoppinfo.jsp

1502

Figure 16

1700

Web Admin - Microsoft Internet Explorer
File Edit View Favorites Tools Help
Back Forward Stop Refresh Home Search Favorites History Mail Print Edit Messenger Real.com Messenger
Address [C:\WebAdmin\index\_dash.html]
XYZ Corporation Main Logout
Company: XYZ Incorporated Go Change Password

**UBS PaineWebber**
Home Participant Inquiry Work Flow Reporting File Exchange Client Profile Events Calendar
Search Participant Profile Plan Information Trade Summary

**ESOP Plan Info**  
**ESPP Plan Info**  
**RSA Plan Info**

**Name**  
John Doe

**Grant Detail**

Plan Number	Grant Number	Grant Date	Grant Price	Option Type	Options Granted	Options Exercised	Options Cancelled	Options Outstanding	Exercise Pending	Options Exercisable	Options Accepted	Grant
XYZ423A	GAR0000000128	06/15/2000	\$9.7500	NQO	5,000	1,250	0	3,750	0	0	0	N/A

**Future Vesting**

Shares Granted	Vested	Cancelled	Vesting Date	Expiration Date
1250	0	0	06/15/2002	06/15/2010
1250	0	0	06/15/2003	06/15/2010
1250	0	0	06/15/2004	06/15/2010

**Exercise Summary**

Exercise Date	Exercise Type	Option Price	Options Exercised	Option Cost	Exercise FMV	Gross Income
11/28/2000	Same-Day-Sale	\$9.7500	625	\$6,093.75	\$65,000.00	\$40,625.00
12/15/1999	Same-Day-Sale	\$9.7500	625	\$6,093.75	\$72,250.00	\$45,156.25

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Done My Computer

1502

Figure 17

1800

Web Admin - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Real Messenger Real.com Messenger

Address C:\WebAdmin\Index\_dash.html

Go

XYZ Corporation Help Logout

Company: XYZ Incorporated (Go) Change Password

UBS PaineWebber

Home Participant Inquiry Work Flow Reporting File Exchange Client Profile Events Calendar

Search Participant Profile Plan Information Trade Summary

ESOP Plan Info

ESPP Plan Info

RSA Plan Info

Name

John Doe

Purchase Summary

Plan Number	Offering Period Start Date	Offering Period ID	Shares available for Purchase	Dollars Applied to Purchase	Residual Balance	Shares Purchased/ Deposited	Purchase/ Deposit Date	Price	Shares Available for Sale	Date
XYZ423A	11/04/1994	FG78495	0	\$52.00	39	39	12/31/1998	\$38.4625	0	12/3
XYZ423A	09/17/1997	67321FD	0	\$134.00	33	33	12/31/1999	\$45.87344	2	12/3
XYZ423B	03/24/1999	342225W	32	\$211.00	32	32	12/31/2000	\$48.05	0	12/3
Totals			32	\$397.00	104	104			2	

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file:///C:/WebAdmin/participant/essopmaininfo.jsp

My Computer

1502

Figure 18

1900

Web Admin - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit Messenger Real.com Messenger

Address C:\WebAdmin\Index\_dash.html

UBS PaineWebber

Home Participant Inquiry Work Flow Reporting File Exchange Client Profile Events Calendar Search Participant Profile Plan Information Trade Summary

Company: XYZ Incorporated Change Password

ESOP Plan Info

ESPP Plan Info

RSA Plan Info

Name

John Doe

Grant Information

Plan Number	Grant Number	Grant Date	Option Type	Shares Granted	Shares Vested	Shares Cancelled	Shares Pending Sale	Available For Sale
XYZ423F	000000000000016	04/20/2002	RES	250,000	200,000	0	250	199,750
XYZ423G	000000000000020	04/27/2002	RES	50,000	50,000	0	50,000	1,250
Totals				300,000	250,000	0	50,250	201,000

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File:///C:/WebAdmin/participant/esppinfo.jsp My Computer

1502

Figure 19

2000

PL\_15 - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home

Search Favorites History Mail Print Edit

Address http://pwwf654401/participant/PL\_15.htm

Go Links

UBS PaineWebber

[Home](#)
[Participant Inquiry](#)
[Work Flow](#)
[Plan Reporting](#)
[Site Administration](#)

[Search](#)
[Participant Profile](#)
[Plan Information](#)
[Trade Summary](#)

XYZ INCORPORATED

[Help](#)
[Change Password](#)
[Logout](#)

XYZ Incorporated

Grant Detail

Plan Number	Grant Number	Grant Date	Grant Price	Shares Granted	Shares Vested	Shares Cancelled	Shares Pending for Sale	Shares Available for Sale
XYZ423F	0000000000016	04/20/2002	\$0.0000	250,000	200,000	0	250	199,750

Future Vesting

Shares Vesting	Vest Date
50,000	04/20/2003

Lapse Summary

Exercise Date	Withhold/Cash	Grant Price	Shares Exercised	Exercise FMV	Gross Income
06/05/2002	Withhold	\$0.0000	200,000	\$65,0000	\$16,250.00

1502

Figure 20

2100

Web Admin - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit Messenger Messenger Real.com Messenger

Address: C:\WebAdminIndex\_dash.html

Go

XYZ Corporation Help Logout

Company: XYZ Incorporated Go Change Password

UBS PaineWebber

Home Participant Inquiry Work Flow Reporting File Exchange Client Profile Events Calendar Search Participant Profile Plan Information Trade Summary

Name

John Doe

Cost Basis (Award Price)	Tax Basis (Award FNU)	Tax Payment Method	Federal Tax	State Tax	Local 1 Tax	Local 2 Tax	Local 3 Tax	Local 4 Tax	Local 5 Tax	Local 6 Tax	Social Security	Medicare	Total Taxes Paid	Shares Used for Taxes
\$0.0000	\$16,250.00	Withhold	\$4,387.50	\$1,195.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$235.62	\$5,820.12	90

Done

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My Computer

Figure 21

2200

Web Admin - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit Messenger Real.com Messenger

Address [C:\WebAdmin\index\\_dash.html](#)

UBS PaineWebber

Home Participant Inquiry Work Flow Reporting File Exchange Client Profile Events Calendar

Search Participant Profile Plan Information Trade Summary

Company: XYZ Incorporated (Go) Change Password

XYZ Corporation - Main Logout

Name

John Doe

Trade Summary

Reference Number	Benefit Plan	Entry Date	Quantity	Order Status	Transaction Type	Limit Price	Execution Price	Entered Payment Method	Name	Cash	Shares
<u>XY149</u>	ESOP	11/28/2000	625	EXE	DAY	\$65.00	\$65.00	FA Account	N/A	N/A	N/A
<u>XY148</u>	ESOP	11/28/2000	625	*CXL	LIMIT	N/A	\$95.00	FA Check	N/A	N/A	N/A
<u>XY147</u>	ESOP	11/28/2000	625	MEXE	MKT	N/A	\$57.00	FA Account	N/A	N/A	N/A

Account #

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My Computer

Figure 22

2300

Web Admin - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit Messenger Real.com Messenger

Address: C:\WebAdmin\index\_dash.html

**UBS PaineWebber**

Home Participant Inquiry Work Flow Reporting File Exchange Client Profile Events Calendar

Search Participant Profile Plan Information Trade Summary

Company: XYZ Incorporated Change Password

### Transaction Worksheet

Name: John Doe

Limit Price/Share: \$65.00

Grant Type: NQO

Federal Tax Rate: 27%

State Tax Rate: 7.35%

Expressed in USD		11/28/2000	Total
Shares Exercised	625		625
Gross Fair Market Value	\$40,625.00		\$40,625.00
Option Cost	\$6,093.75		\$6,093.75
Federal Tax	\$9,323.44		\$9,323.44
State Tax	\$2,538.05		\$2,538.05
Local 1 Tax	\$0.00		\$0.00
Local 2 Tax	\$0.00		\$0.00
Local 3 Tax	\$0.00		\$0.00
Local 4 Tax	\$0.00		\$0.00
Local 5 Tax	\$0.00		\$0.00
Local 6 Tax	\$0.00		\$0.00
FICA	\$0.00		\$0.00

Done

Figure 23



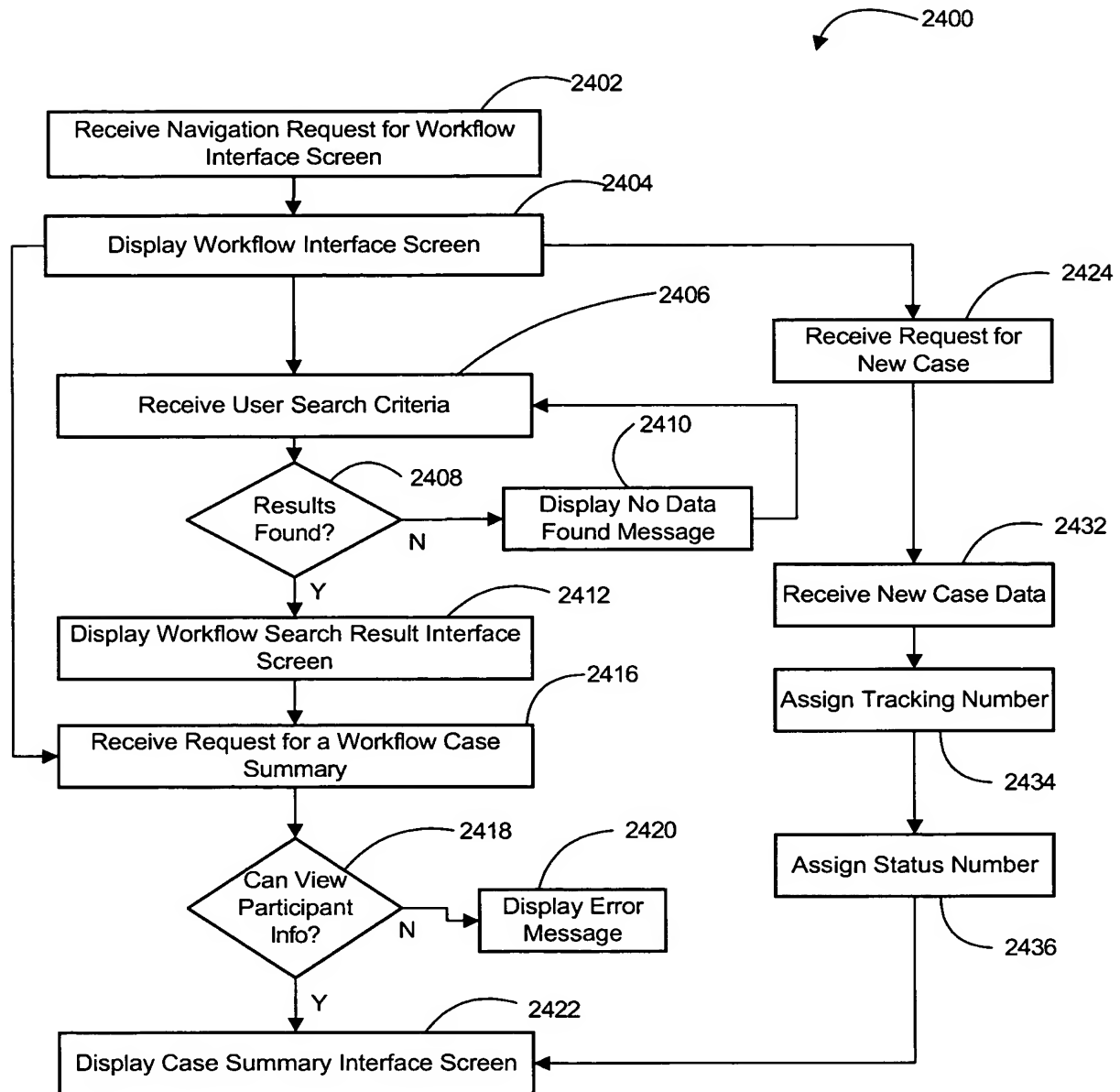


Figure 24

2500

HOME - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit Create Model...

Address S:\ValuePorter\Site\Demo\WorkFlow\index.htm

UBS PaineWebber.

Home Participant Inquiry Work Flow Plan Reporting Site Administration New/Status Search

XYZ INCORPORATED

Help Change Password Logout

**New Request**

Participant ID:

Request Type:

Choose One

**Search**

Tracking Number:

**Open**

Tracking	Open Date	Participant ID	Name	Request Type
777777	01/01/2002	123456789	Doe, John	General
187468	12/31/2001	123456789	Doe, John	Block
582345	12/30/2001	123456789	Doe, John	Insider
999999	12/27/2001	123456789	Doe, John	Demographic
545454	12/25/2001	123456789	Doe, John	Grant

[More](#)

**In Progress**

Tracking	Open Date	Participant ID	Name	Request Type
815653	12/31/2001	123456789	Smith, Bob	Grant
987468	12/15/2001	55578891	Smith, Bill	Block

Local Internet

402

702

2504

2506

404

2502

Figure 25

2600

SEARCH - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit Discuss

Address <http://pww654401/webadmin/SEARCH.htm> Go Links

---

**UBS PaineWebber.**

Home | Participant Inquiry | Work Flow | Plan Reporting | New Status | Search

**XYZ**  
INCORPORATED

Security Administration Help Change Password Logout

---

**Search**

Tracking Number	<input type="text"/>
Participant ID	<input type="text"/>
Request Type	<input type="text"/>
Status	<input type="text"/>
Priority	<input type="text"/>
Open Date (MM/DD/YYYY)	<input type="text"/> 05/26/2002 to <input type="text"/> 05/26/2002
Closed Date (MM/DD/YYYY)	<input type="text"/> to <input type="text"/>
Submitter	<input type="text"/>
Sort Order	<input type="text"/> Ascending Descending

**SUBMIT**

---

Start Local Internet

Figure 26

2700

Test - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit Discards

Address http://www.654401/webadmin/test.htm

Go Links

UBS PaineWebber.

Home Participant Inquiry Work Flow Plan Reporting

News Status Search

XYZ CORPORATION

Security Administration Help Change Password Logout

Tracking	Participant ID	Name	Request Type	Status	Open Date	Closed Date	Priority	Submitter
277777	123456789	Doe, John	General	Open	1/1/2002		Low	XYZ_User1
287468	555778891	Smith, Bill	Block	Open	12/31/2001		Low	XYZ_User2
582345	888888888	Doe, Joe	Insider	Open	12/30/2001		High	XYZ_User1
595992	333773333	Smith, Jane	Demographic	Open	12/27/2001		High	XYZ_User3
545454	444556666	Doe, Jill	Grant	Open	12/25/2001		Low	XYZ_User1
127468	555778891	Smith, Bill	Termination	Open	12/11/2001		Low	XYZ_User2
592345	123456789	Doe, John	Tax Profile Change	Open	12/11/2001		High	XYZ_User1
545454	444556666	Doe, Jill	Grant	Open	12/10/2001		Low	XYZ_User3

Pages : 1 2 [Next>>]

Back To Top

Done Start

Local Internet

Figure 27

2800

GENERAL\_2 - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit Discuss

Address http://pwwp54401/webadmin/GENERAL\_2.htm

Go Links

---

**UBS PaineWebber.**

Home Participant Inquiry Work Flow Plus Reporting

XYZ INCORPORATED

NAVY STATUS Search

---

**Request Type** General

Priority ☒ High ☐ Medium ☐ Low

Participant ID 123456789 Last Name Doe First Name John

Comments

Attach File Browse

E-mail notification ☐ At Submission ☒ At Completion

**SUBMIT**

Start Load Internet

Figure 28

2900

DEMO\_3 - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit Discuss

Address http://pww654401/webadmin/DEMO\_3.htm

Go Links

UBS PaineWebber

Home Participant Inquiry Work Flow

Plan Reporting

Security Administration Help Change Password Logout

XYZ INCORPORATED

New Status Search

Request Type Demographic

Priority ☐ High ☒ Medium ☐ Low

Participant ID 333773333

Last Name Smith First Name Jane

Address1 123 Main Street Address2 Address3

City Miami State FL Zip 12345 Country USA

Home Phone (555)555-5555 Work Phone

Comments

Email notification ☐ At Submission ☒ At Completion

SUBMIT

Start

Local intranet

Figure 29

3000

GRANT\_2 - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit Create Model... Go Links

Address S:\Users\rosenhan\Demo\WorkFlow\GRANT\_2.htm

---

**UBS PaineWebber.**

Home Participant Inquiry Work Flow Plan Reporting Site Administration New/Status Search Help Change Password Logout

---

**XYZ**  
INCORPORATED

Request Type		Grant	
Priority	<input type="radio"/> High <input type="radio"/> Medium <input type="radio"/> Low		
Participant ID	123456789	Last Name	Doe
Action Type	<input type="radio"/> New <input type="radio"/> Modify <input type="radio"/> Cancel	First Name	John
Grant ID	Choose One	Grant Type	
Plan	Choose One	Grant Code	
Grant Date (MM/DD/YYYY)	GAR00000000000128 GAR00000000000175 0000000000000185 0000000000000414 0000000000000120	Grant Price	\$0.00
Vest Schedule		Quantity	
		Expiration Date (MM/DD/YYYY)	/ /
		Vest from Date (MM/DD/YYYY)	/ /
		Vest from Hire Date	<input type="radio"/> Yes <input type="radio"/> No
Comments			
E-mail notification	<input type="checkbox"/> At Submission <input checked="" type="checkbox"/> At Completion		

Done

Figure 30

3100

Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit Discuss

Address http://pww654401/webadmin/TERM.htm

UBS PaineWebber.

Home | Participant Inquiry | Work Flow | Plan Reporting

XYZ CORPORATION

Security Administration Help Change Password Logout

Request Type Termination

Priority ☐ High ☐ Medium ☒ Low

Participant ID 555778891

Account Block ☐ Block ☒ Unblock

Termination ID/Reason 01 Voluntary

Termination Date MM/DD/YYYY 05/07/2001

Comments

E-mail notification ☐ At Submission ☒ At Completion

Submit

Done Start Local Internet

Figure 31



TAXPROFILE - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit Discuss

Address http://pwwp54401/webadmin/TAXPROFILE.htm

Go Links

UBS PaineWebber

Home Participant Inquiry Work Flow New Status Search

Plan Reporting

Security Administration Help Change Password Logout

XYZ

INCORPORATED

Request Type

Tax Profile Change

Priority

☐ High ☒ Medium ☐ Low

Participant ID

123456789

Last Name

DoB

John

FICA (Y/N)

☐ Yes ☒ No

YTD FICA

\$4,500.00

Tax Code

USNY

Allocation %

50.00%

Tax Code

USNY

Allocation %

50.00%

Tax Code

Allocation %

Tax Code

Allocation %

Total Allocation %

100.00%

Comments

E-mail notification

☐ At Submission ☒ At Completion

Done Start

Local Internet

SUBMIT

Figure 32

3200

UBS PaineWebber.

Home

Participant Inquiry

Work Flow

New/Status

Search

Plan Reporting

Site Administration

Help

Change Password

Logout

XYZ

SECURITIES

Request Type

Exercise Revision

Priority

☐ High ☐ Medium ☐ Low

Participant ID

123456789

Last Name

Doe

First Name

John

Action Type

☐ Modify ☐ Delete

Order Ref#

Choose One

Exercise Date

Exercise Type

Sale Price

\$0.000000

FMV

\$0.000000

Grant ID

Grant Date

Grant Price

Quantity

Tax Rates

Federal Rate

27.00 %

Local1 Rate

0.00 %

Local4 Rate

0.00 %

State Rate

0.00 %

Local2 Rate

0.00 %

Local5 Rate

0.00 %

FICA (Y/N)

Local3 Rate

0.00 %

Local6 Rate

0.00 %

Comments

E-mail notification

☐ At Submission ☒ At Completion

SUBMIT

Figure 33

3400

BLOCK - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit Discuss

Address http://www654401/webadmin/BLOCK.htm

Go Links

UBS PaineWebber.

Home Participant Inquiry Work Flow Plan Reporting

New Status Search

XYZ  
INCORPORATED

Request Type Block

Priority ☐ High ☒ Medium ☐ Low

Participant ID 555778891 Last Name Smith First Name Bill

Account Type ☐ Option ☐ Stock Purchase

Account Block ☒ Block ☐ Unblock

Comments

E-mail notification ☐ At Submission ☒ At Completion

SUBMIT

Done Start

Local Internet

Figure 34

3500


INSIDER - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit Discuss

Address http://www65401/webadmin/INSIDER.htm

Go Links

UBS PaineWebber.

Home | participant Inquiry | Work Flow | Plan Reporting

XYZ CORPORATION

Security Administration Help Change Password Logout

Request Type Insider

Priority ☐ High ☐ Medium ☒ Low

Participant ID 123456789 Last Name Doe First Name John

Action Type ☐ Block ☒ Unblock

Insider Code 02 Rule 144

Comments

☐ At Submission ☒ At Completion

Submit

Start

Local intranet

Figure 35

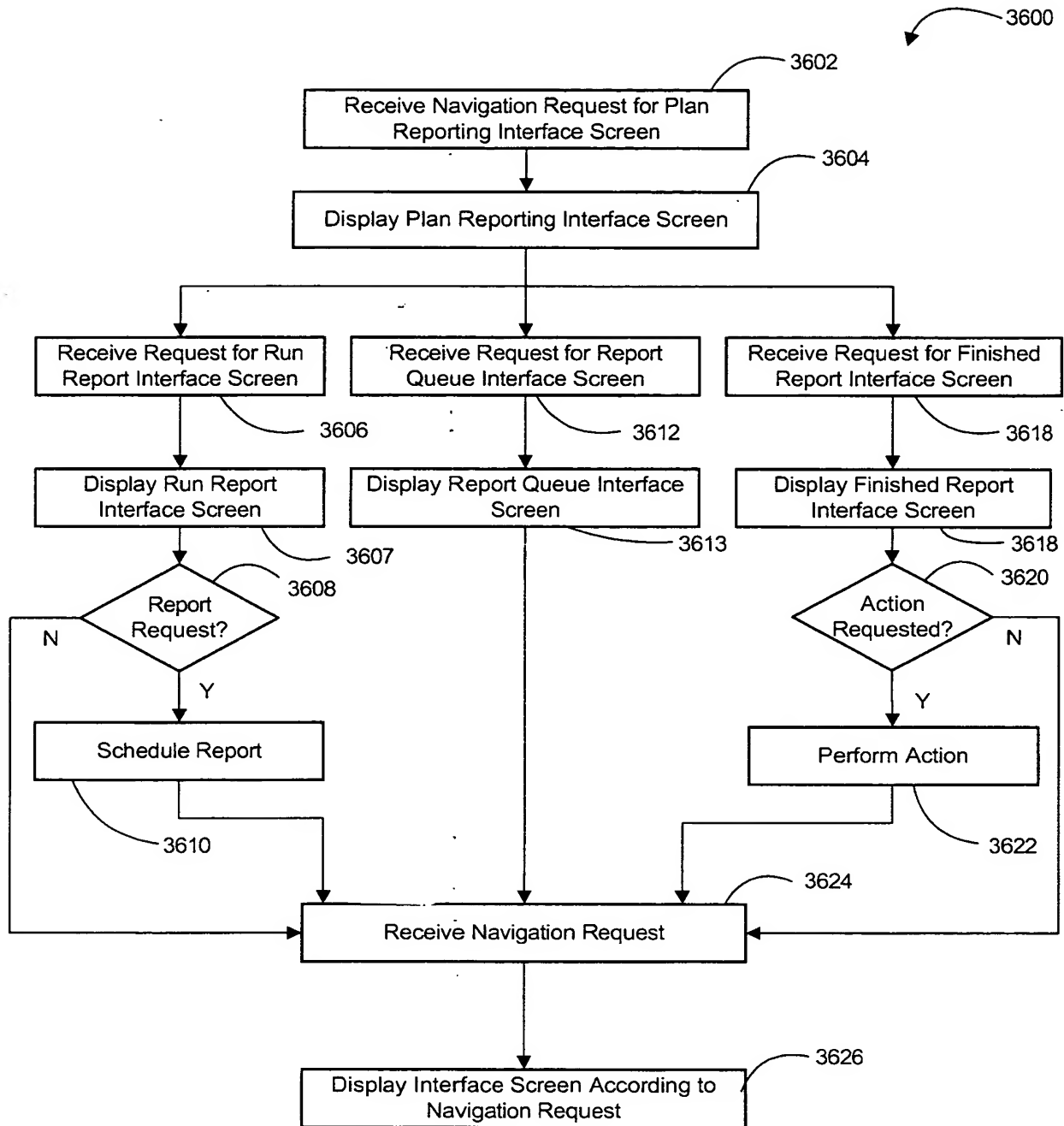


Figure 36

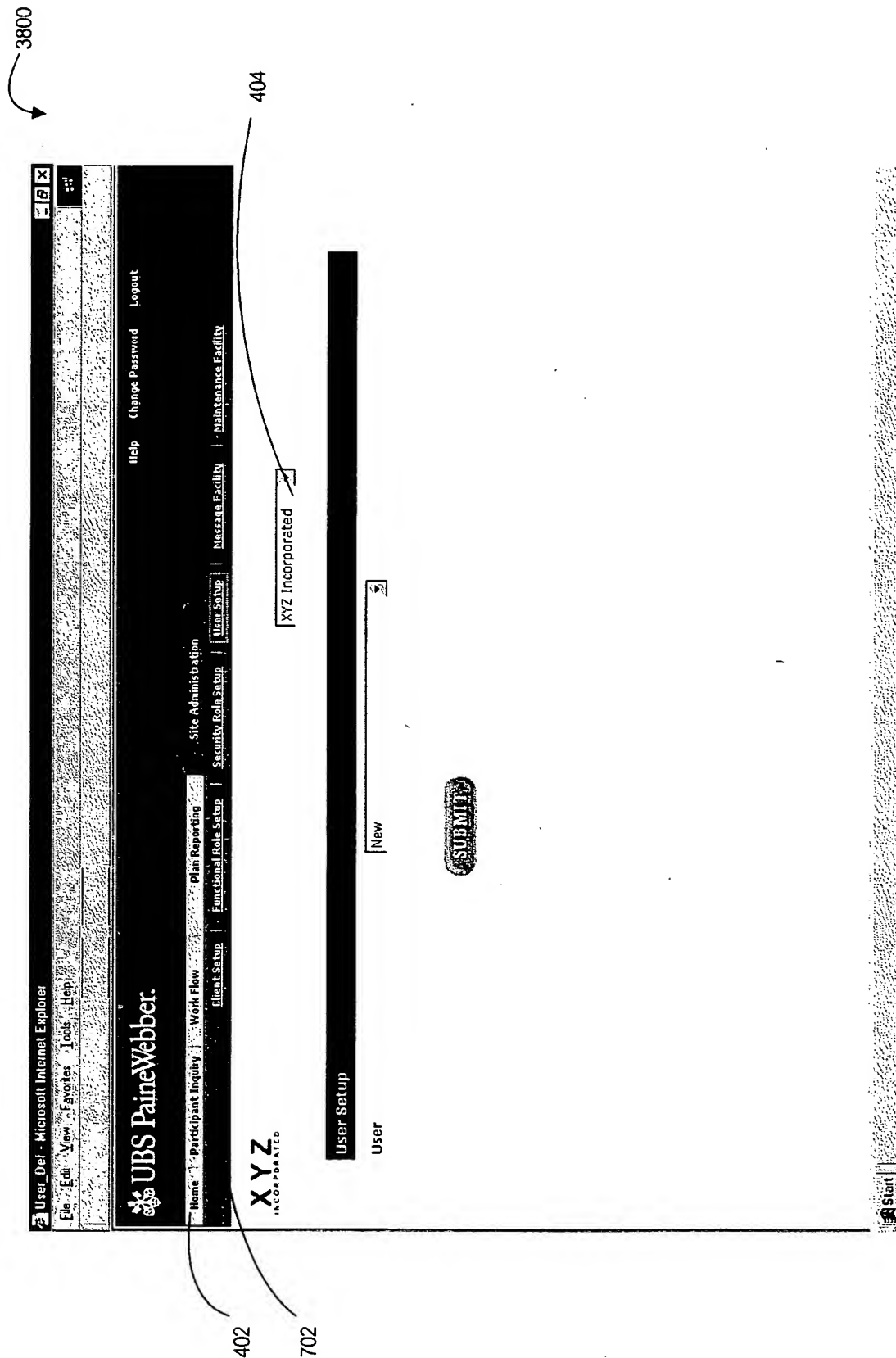


Figure 37

3900

Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit Message

Address s:\PEWeb\Doc\Web Administration\demo\Site Administration\User\_Def\_screen2.htm

Go Links

UBS PaineWebber

Home Participant Inquiry Work Flow Plan Reporting Site Administration

Client Setup Functional Role Setup Security Role Setup User Setup Message Facility Maintenance Facility

Help Change Password Logout

XYZ INCORPORATED

XYZ Incorporated

User Setup

User ID

[Changable for new users only]

Internal External

Last Name

First Name

[Changing the type for existing users will cause all role assignments deleted]

Password

Re-Enter Password

Block Reason

Block User

☐ Yes ☒ No

Company

GEMS Inc.  
ABC123 Corporation  
XYZ Incorporated  
YUM Incorporated

Security Role for All Companies

Work Phone

Home Phone

Work E-mail

Mobile

Work Fax

Done

Local Intrane

Figure 38

4000

Role\_Profile - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit Messenger

Address [S:\PEWeb\Docs\Web Administration\demo\Site Administration\Role\\_Profile.htm](#)

Go Links

UBS PaineWebber

Home Participant Inquiry Work Flow Plan Reporting Site Administration

Client Setup Functional Role Setup Security Role Setup User Setup Message Facility Maintenance Facility

Help Change Password Logout

XYZ INCORPORATED

XYZ Incorporated

Functional Role Setup -- For a company specified above

Role Type ☒ Internal ☐ External [Choice will be only available if New is chosen and no Model After]

Role Name

Role Description

Block Status ☒ Block ☐ Unblock Block Reason

[Functions displayed below will be driven by company permissions for internal or external roles depending on the chosen Role Type above]

Application Sub-Application Function

☐ Participant Inquiry

☐ Participant Profile

☐ Administration

☐ Comments

Done Local Internet

Figure 39



Web Admin - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Address Links

Help Change Password Logout

UBS

UBS Financial Services Inc.

Dashboard Participant Inquiry Work Flow Plan Reporting Site Administration

Client Setup User Setup Functional Role Setup Security Role Setup Message Facility Create New Client

Company: XYZ Corporation (Set as default)

MICHAEL SHAFFER (me04558)

Security Role Setup

Security Level

Security Level 1

Role Type

Internal

Role Name

Role Description

Block Status

Block Unblock Block Reason

Functions

Site Administration (Security Level 5)

Client Setup (Security Level 5)

Functional Role Setup (Security Level 4)

Security Role Setup (Security Level 2) ALL

User Setup (Security Level 4)

Message Facility (Security Level 5)

Done

Start

Inbox - Microsoft

Inbox - Microsoft

FW Options St...

Web Admin - M...

Local Intranet

3:24 PM

Figure 40

Web Admin - Microsoft Internet Explorer
File Edit View Favorites Tools Help
Back Forward Stop Address
Links
Help Change Password Logout

UBS Financial Services Inc.

Dashboard Participant Inquiry Work Flow Plan Reporting Site Administration
Client Setup User Setup Functional Role Setup Security Role Setup Message Facility Create New Client

X.Y.Z MICHAEL SHAFFER (me04558)
Company: XYZ Corporation (Set as default)

General Information
Contact Information
Row Filter Setup
Application Selection
Data Source Setup
Data Source Recovery

General Information
Org ID: 999
Ticker: XYZ
Client Name: XYZ Corporation
Admin Type:
☒ Full Admin ☐ Partial Admin
☐ Block ☒ Unblock
Stock Options Active Date: 10/29/02
Stock Purchase Active Date: 10/29/02
Restricted Stock Active Date: 10/29/02

Important Legal Information
Copyright 2002, UBS Financial Services Inc. Member SIPC.
Done
Start
Inbox: Microsoft...
Inbox: Microsoft...
Web Admin - M...
Local intranet
8:36 AM

Figure 41

Web Admin - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Address

UBS

Dashboard | Participant Inquiry | Work Flow | Plan Reporting | Site Administration

Client Setup | User Setup | Functional Role Setup | Security Role Setup | Message Facility | Create New Client

XYZ MICHAEL SHAFFER (me04558)

Company: XYZ Corporation (Set as default)

Help Change Password Logout

General Information

Contact Information

Row Filter Setup

Application Selection

Data Source Setup

Data Source Recovery

UBS Contact Information

Designation

Primary Admin

Senior Admin

Primary CRM

Senior CRM

Name

Naqvi, Suhail [se03869]

Mau, Dan [de04188]

Patel, Prakash [pe04545]

Bilicska, Marcella [me04849]

Client Contact Information

Contact 1 | Senior Benefits Admin

Contact 2 | Compliance Contact

Contact 3 | Senior Payroll Admin

Contact 4 | Global Benefits Admin

Doe, John [jw00005]

Morrisey, Sandra [sw00105]

mclanahan, michael [mw00009]

Tobin, Robert [rw00021]

Save Cancel

Important Legal Information

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https://efswaust-ubstest.com/webapp/wa/apply/cs/clientcontact.edi

Start

Inbox Microsoft

Inbox Microsoft

Web Admin - M

Document: Mic

Local Intranet

8:37 AM

Figure 42

Web Admin - Microsoft Internet Explorer

FileEditViewFavoritesToolsHelp

BackForwardStopAddress

UBS

Dashboard | Participant Inquiry | Work Flow | Plan Reporting | Site Administration  
Client Setup | User Setup | Functional Role Setup | Security Role Setup | Message Facility | Create New Client

Company: XYZ Corporation (Set as default)

HelpChange PasswordLogout

General Information  
Contact Information  
Row Filter Setup  
Application Selection  
Data Source Setup  
Data Source Recovery

Column Selection for Row Filtering

Please choose the columns that will be used for Row Filtering

☒ Location

☒ Subsidiary

☒ Country

☐ User Code 1

☐ User Code 2

☐ User Code 3

☐ User Text 1

☐ User Text 2

50

50

50

0

0

0

0

0

Important Legal Information

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Start

Inbox - Microsoft  
Inbox - Microsoft  
Web Admin - M  
Document1 - Mic

Local intranet  
8:37 AM

Figure 43

Web Admin - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Address Links Back Forward Stop

Help Change Password Logout

UBS Financial Services Inc.

Dashboard | Participant Inquiry | Work Flow | Plan Reporting | Site Administration

Client Setup | User Setup | Functional Role Setup | Security Role Setup | Marriage Facility | Create New Client

Company: XYZ Corporation (Set as default)

**UBS**

**X.Y.Z. MICHAEL SHAFFER (me04558)**

General Information  
Contact Information  
Row Filter Setup  
Application Selection  
Data Source Setup  
Data Source Recovery

**Application Selection**

Application/Function

Premier Services  
FA Dashboard

Home Page  
Alerts  
Processing Statistics  
Stock Option Plans  
Stock Purchase Plans  
Restricted Stock Plans  
PW Contacts  
Client Contacts  
Market View

Participant Inquiry  
Participant Profile  
Plan Information  
Trade Summary  
Contacts

Work Flow

External

Local Internet

Done Start

Inbox: Microsoft... Web Admin: M... Document1: Mic... 8:38 AM

Figure 44

Web Admin - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Address

Help Change Password Logout

UBS Financial Services Inc.

Dashboard Participant Inquiry Work Flow Plan Reporting Site Administration

Client Setup User Setup Functional Role Setup Security Role Setup Message Facility Create New Client

X.Y.Z. MICHAEL SHAFFER (me04558)

Company: XYZ Corporation (Set as default)

Message Facility

Message Title

Message Text

Welcome

Welcome to the Web Administration UAT website. The website functionality was last updated on 1/17/03. Please note that participant level information is not based on current data, and it is provided for testing purposes only.

Priority Level

Client

Message Start Date:

Message Expiration Date

Display on Login Screen

Display on Dashboard

N/A

All Clients

01 21 2003

01 24 2003

C

C

Cancel Continue

Done

Start

Inbox Microsoft

Inbox Microsoft

Document Microsoft

Web Admin M

Local Intranet

8:42 AM

Figure 45